

RESTRICTED LIE ALGEBRAS WITH MAXIMAL 0-PIM

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ABSTRACT. In this paper we show that the projective cover of the trivial irreducible module of a finite-dimensional solvable restricted Lie algebra is induced from the one-dimensional trivial module of a maximal torus. As a consequence, we obtain that the number of the isomorphism classes of irreducible modules with a fixed p -character for a finite-dimensional solvable restricted Lie algebra L is bounded above by $p^{\text{MT}(L)}$, where $\text{MT}(L)$ denotes the largest dimension of a torus in L . Finally, we prove that in characteristic $p > 3$ the projective cover of the trivial irreducible L -module is only induced from the one-dimensional trivial module of a torus of maximal dimension if L is solvable.

INTRODUCTION

For a fixed prime number p Wolfgang Willems considered the class $\mathcal{P}_0(p)$ of all finite groups G for which the dimension of the projective cover of the one-dimensional trivial $\mathbb{F}G$ -module over a field \mathbb{F} of characteristic p has minimal dimension and compared $\mathcal{P}_0(p)$ to the class of all finite groups having a p -complement. In particular, every p -solvable group belongs to $\mathcal{P}_0(p)$, but the converse is not true (see [28, Section 4]). More recently, Gunter Malle and the third author of this paper classified all finite non-abelian simple groups belonging to $\mathcal{P}_0(p)$ for a fixed prime number p by using the classification of finite simple groups (see [17, Theorem A]). As a consequence, they obtained that a finite group G is solvable (i.e., G is p -solvable for every prime number p) if, and only if, $G \in \mathcal{P}_0(p)$ for every prime number p (see [17, Corollary B]).

In this paper we investigate the analogous question for finite-dimensional restricted Lie algebras over a field of prime characteristic. It turns out that for a restricted Lie algebra there is a canonical upper bound for the dimension of the projective cover of its one-dimensional trivial module (see Proposition 1.2). We say that a finite-dimensional restricted Lie algebra has maximal 0-PIM if this maximal possible dimension is attained (see Section 2). One main goal of the paper is then to classify all finite-dimensional restricted Lie algebras having maximal 0-PIM. We prove that a finite-dimensional restricted Lie algebra over a field of characteristic $p > 3$ has maximal 0-PIM if, and only if, it is solvable (see Theorem 6.3). A main ingredient of the proof is the classification of finite-dimensional simple Lie algebras of absolute toral rank two over an algebraically closed field of characteristic $p > 3$ (see [24]). We show by an example that in characteristic two there exists a finite-dimensional non-solvable restricted Lie algebra having maximal 0-PIM. In

Date: July 7, 2014.

2010 Mathematics Subject Classification. 17B05, 17B30, 17B50.

Key words and phrases. Restricted Lie algebra, p -character, reduced universal enveloping algebra, projective cover, projective indecomposable module, induced module, maximal 0-PIM, torus, solvable Lie algebra, number of irreducible modules.

characteristic three we do not know of such a counterexample, but according to the lack of a classification of finite-dimensional simple Lie algebras of absolute toral rank two in this case, at the moment it is not clear whether our result holds in characteristic three.

In the first section we collect several useful results for projective covers of modules over reduced enveloping algebras that will be needed later in the paper. Some of these results were already known in special cases, but for the convenience of the reader we treat them here in one place. The most important one is Theorem 1.5, which is the Lie-theoretic analogue of a result for finite modular group algebras due to Wolfgang Willems (see [28, Lemma 2.6] or also [16, Lemma VII.14.2]), and will be crucial in the proof of the main result of the next section, namely, that every finite-dimensional solvable restricted Lie algebra has maximal 0-PIM (see Theorem 2.2). In Section 3 this result is employed to establish an upper bound for the number of the isomorphism classes of irreducible modules with a fixed p -character for a solvable restricted Lie algebra (see Theorem 3.1). This generalizes the known results for nilpotent (see [20, Satz 6]) and supersolvable restricted Lie algebras (see [12, Theorem 4]). For quite some time the first author has conjectured that this bound holds for *every* finite-dimensional restricted Lie algebra (see also [15, Section 10, Conjecture] for simple Lie algebras of classical type). In the fourth section we prove a general result on the compatibility of induction for a filtered restricted Lie algebra of depth one with the associated graded restricted Lie algebra which might be of general interest. In particular, the irreducibility of the induced module for the associated graded restricted Lie algebra implies the irreducibility of the corresponding induced module for the filtered restricted Lie algebra (see Theorem 4.3). Section 5 discusses some non-graded Hamiltonian Lie algebras and their representations. Here the irreducibility of certain induced modules is obtained from Theorem 4.3 and the known corresponding result for the associated graded restricted Lie algebra (see Theorem 5.3). The last section is devoted to a proof of the converse of Theorem 2.2 in characteristic $p > 3$ and a counterexample to this result in characteristic two. In characteristic three this converse seems to be open, and we hope to come back to this on another occasion.

In the following we briefly recall some of the notation that will be used in this paper. By $\mathbb{Z}_{\geq 0}$ we will denote the set of all non-negative integers. Let $\langle X \rangle_{\mathbb{F}}$ denote the \mathbb{F} -subspace of a vector space V over a field \mathbb{F} spanned by a subset X of V . For a subset X of a restricted Lie algebra L we denote by $\langle X \rangle_p$ the p -subalgebra of L generated by X . Finally, $[L, L]$ or $L^{(1)}$ will denote the derived subalgebra of a Lie algebra L . For more notation and some well-known results from the structure and representation theory of modular Lie algebras we refer the reader to Chapters 1 – 5 in [25] as well as Chapters 1, 4, and 7 in [22].

1. PROJECTIVE COVERS OF MODULES WITH A p -CHARACTER

Let A be a finite-dimensional unital associative algebra, and let M be a (unital left) A -module. Recall that a projective module $P_A(M)$ is a *projective cover* of M , if there exists an A -module epimorphism π_M from $P_A(M)$ onto M such that the kernel of π_M is contained in the radical of $P_A(M)$. If projective covers exist, then they are unique up to isomorphism (see also the remark after (PC) below). It is well known that projective covers of finite-dimensional modules over finite-dimensional associative algebras always exist and are again finite-dimensional. Moreover, every

projective indecomposable A -module is isomorphic to the projective cover of its irreducible head. In this way one obtains a bijection between the isomorphism classes of the projective indecomposable A -modules and the isomorphism classes of the irreducible A -modules.

In the sequel we will need the following universal property of the pair $(P_A(M), \pi_M)$ which is an immediate consequence of Nakayama's lemma:

- (PC) If P is a projective A -module and π is an A -module epimorphism from P onto M , then every A -module homomorphism η from P into $P_A(M)$ with $\pi_M \circ \eta = \pi$ is an epimorphism.

Remark. Since P is projective and π_M is an epimorphism, there always exists an A -module homomorphism η from P to $P_A(M)$ such that $\pi_M \circ \eta = \pi$. In particular, it follows from (PC) that projective covers are unique up to isomorphism.

Let L be a finite-dimensional restricted Lie algebra over a field of prime characteristic p , and let χ be a linear form on L . Moreover, let $u(L, \chi)$ denote the χ -reduced universal enveloping algebra of L (see [26, §1.3] or [25, p. 212]), and let $P_L(M) := P_{u(L, \chi)}(M)$ denote the projective cover of the $u(L, \chi)$ -module M . If H is a p -subalgebra of L , and V is an H -module with p -character $\chi|_H$, then we set $\text{Ind}_H^L(V, \chi) := u(L, \chi) \otimes_{u(H, \chi|_H)} V$ (see [26, §1.3] or [25, Section 5.6] for the usual properties of induction).

As we could not find a reference for our first result, which will be needed in the proof of Theorem 6.3, it is included here for completeness.

Proposition 1.1. *Let L be a finite-dimensional restricted Lie algebra over a field of prime characteristic p , let χ be a linear form on L , let H be a p -subalgebra of L , and let M be a finite-dimensional L -module with p -character χ . Then $P_L(M)$ is a direct summand of $\text{Ind}_H^L(P_H(M|_H), \chi)$.*

Proof. Set $P := \text{Ind}_H^L(P_H(M|_H), \chi)$. Since induction preserves projectivity, P is a projective $u(L, \chi)$ -module. As $P_H(M|_H)$ is the projective cover of $M|_H$, there is an H -module epimorphism π from $P_H(M|_H)$ onto $M|_H$. According to [25, Theorem 5.6.3], there exists an L -module epimorphism from P onto M . Then we obtain from (PC) and the subsequent remark that $P_L(M)$ is a homomorphic image of P , and thus also a direct summand of P . \square

Let

$$\text{MT}(L) := \max\{\dim_{\mathbb{F}} T \mid T \text{ is a torus of } L\}$$

denote the *largest dimension* of a torus in L (see [22, Notation 1.2.5]). The next result is a consequence of Proposition 1.1 and the semisimplicity of reduced universal enveloping algebras of tori.

Proposition 1.2. *Let L be a finite-dimensional restricted Lie algebra over a field \mathbb{F} of prime characteristic p , let χ be a linear form on L , and let M be a finite-dimensional L -module with p -character χ . Then $P_L(M)$ is a direct summand of $\text{Ind}_T^L(M|_T, \chi)$ for any torus T of L . In particular,*

$$\dim_{\mathbb{F}} P_L(M) \leq (\dim_{\mathbb{F}} M) \cdot p^{\dim_{\mathbb{F}} L - \text{MT}(L)}.$$

Proof. Let T be any torus of L . By virtue of [9, Lemma 3.2], $M|_T$ is a projective $u(T, \chi|_T)$ -module, and it follows from Proposition 1.1 that $P_L(M)$ is a direct summand of $\text{Ind}_T^L(M|_T, \chi)$.

Assume now in addition that T is of maximal dimension in L , i.e., $\dim_{\mathbb{F}} T = \text{MT}(L)$. Then it follows from the first part and [25, Proposition 5.6.2] that

$$\dim_{\mathbb{F}} P_L(M) \leq \dim_{\mathbb{F}} \text{Ind}_T^L(M|_T, \chi) = (\dim_{\mathbb{F}} M) \cdot p^{\dim_{\mathbb{F}} L/T} = (\dim_{\mathbb{F}} M) \cdot p^{\dim_{\mathbb{F}} L - \text{MT}(L)}.$$

□

For later use we record the following result, which is a consequence of the first part of Proposition 1.2 and [25, Proposition 5.6.2]:

Corollary 1.3. *Let L be a finite-dimensional restricted Lie algebra over a field \mathbb{F} of prime characteristic p , and let χ be a linear form on L . If M is a finite-dimensional L -module with p -character χ such that*

$$\dim_{\mathbb{F}} P_L(M) = (\dim_{\mathbb{F}} M) \cdot p^{\dim_{\mathbb{F}} L - \text{MT}(L)},$$

then $P_L(M) \cong \text{Ind}_T^L(M|_T, \chi)$ holds for any torus T of L of maximal dimension.

The argument of our next result, which will be needed in Section 3, is the same as in the proof of [8, Theorem 2], but for the convenience of the reader it is included here. We will denote the trivial irreducible L -module of a restricted Lie algebra L over a field \mathbb{F} also just by \mathbb{F} .

Proposition 1.4. *Let L be a finite-dimensional restricted Lie algebra over a field \mathbb{F} of prime characteristic p , let χ be a linear form on L , and let M be a non-zero finite-dimensional L -module with p -character χ . Then $P_L(\mathbb{F})$ is a direct summand of $P_L(M) \otimes M^*$.*

Proof. Set $P := P_L(M) \otimes M^*$. According to [25, Theorem 5.2.7(2)] and [7, Lemma 2.3], P is a projective $u(L, 0)$ -module. As $P_L(M)$ is the projective cover of M , there is an L -module epimorphism π_M from $P_L(M)$ onto M . Tensoring π_M with the identity transformation of M^* yields an L -module epimorphism from P onto $M \otimes M^*$ which in turn has \mathbb{F} as an epimorphic image. Now we can proceed as in the proof of Proposition 1.1. □

The following dimension formula is the Lie-theoretic analogue of a result for finite modular group algebras due to Wolfgang Willems (see [28, Lemma 2.6] or [16, Lemma VII.14.2]), and will be crucial for the proof of our first main result in the next section.

Theorem 1.5. *Let L be a finite-dimensional restricted Lie algebra over a field \mathbb{F} of prime characteristic p , let χ be a linear form on L , and let I be a p -ideal of L . Then*

$$\dim_{\mathbb{F}} P_L(S) = \dim_{\mathbb{F}} P_I(\mathbb{F}) \cdot \dim_{\mathbb{F}} P_{L/I}(S)$$

holds for every irreducible L -module S with p -character χ such that $I \cdot S = 0$.

Proof. As both the restriction functor from L to I and the induction functor from I to L are exact additive covariant functors that map projectives to projectives, their composition $\mathcal{F} := \text{Ind}_I^L(-, \chi)|_I$ has the same properties. It follows from the generalized Cartan-Weyl identity (see [25, Lemma 5.7.1]) that I annihilates the module $\mathcal{F}(\mathbb{F})$ which is therefore isomorphic to $\dim_{\mathbb{F}} u(L/I, \chi)$ copies of the trivial irreducible I -module. The exactness of \mathcal{F} and (PC) implies that $\mathcal{F}(P_I(\mathbb{F}))$ contains a direct summand that is isomorphic to $\dim_{\mathbb{F}} u(L/I, \chi)$ copies of $P_I(\mathbb{F})$. Since both modules have the same dimension, they are isomorphic.

As S is a trivial I -module, there exists a non-zero I -module homomorphism from $P_I(\mathbb{F})$ to $S|_I$, and one obtains from the universal property of induced modules (see [25, Theorem 5.6.3]) and the irreducibility of S that there exists an L -module epimorphism from $\text{Ind}_I^L(P_I(\mathbb{F}), \chi)$ onto S . But the former module is projective and thus it follows from (PC) that $P_L(S)$ is an epimorphic image of $\text{Ind}_I^L(P_I(\mathbb{F}), \chi)$. Since the former is also projective, it is a direct summand of the latter. Then after restriction to I the Krull-Remak-Schmidt Theorem in conjunction with the isomorphism $\mathcal{F}(P_I(\mathbb{F})) \cong P_I(\mathbb{F})^{\oplus \dim_{\mathbb{F}} u(L/I, \chi)}$ implies that $P_L(S)|_I \cong P_I(\mathbb{F})^{\oplus e}$ for some positive integer e . In particular, we obtain that $\dim_{\mathbb{F}} P_L(S) = e \cdot \dim_{\mathbb{F}} P_I(\mathbb{F})$.

Let \mathcal{D} denote the left adjoint functor of the inflation functor \mathcal{I} from L/I to L . It can be shown that \mathcal{D} is just the coinvariants functor so that $\mathcal{D}(M) = M/IM$ for every $u(L, \chi)$ -module M . Since \mathcal{I} is obviously exact, it follows that \mathcal{D} maps projectives to projectives (see [27, Proposition 2.3.10]). For any irreducible $u(L/I, \chi)$ -module M one has

$$\begin{aligned} \text{Hom}_{L/I}(\mathcal{D}(P_L(S)), M) &\cong \text{Hom}_L(P_L(S), \mathcal{I}(M)) \cong \text{Hom}_L(S, \mathcal{I}(M)) \\ &\cong \text{Hom}_{L/I}(S, M) \cong \text{Hom}_{L/I}(P_{L/I}(S), M). \end{aligned}$$

Hence (PC) implies that $\mathcal{D}(P_L(S))$ and $P_{L/I}(S)$ are isomorphic. As $P_I(\mathbb{F})/IP_I(\mathbb{F})$ is one-dimensional, one concludes from $P_L(S)|_I \cong P_I(\mathbb{F})^{\oplus e}$ that

$$e = \dim_{\mathbb{F}} P_L(S)/IP_L(S) = \dim_{\mathbb{F}} \mathcal{D}(P_L(S)) = \dim_{\mathbb{F}} P_{L/I}(S).$$

Consequently, the assertion follows from the last equality of the previous paragraph. \square

Remark. The above proof would also work in the case of finite-dimensional modular group algebras. In particular, this provides an alternative proof of Willems' result [28, Lemma 2.6].

2. THE 0-PIM OF A SOLVABLE RESTRICTED LIE ALGEBRA

Let L be a finite-dimensional restricted Lie algebra over a field \mathbb{F} of prime characteristic. It follows from Proposition 1.2 that

$$(2.1) \quad \dim_{\mathbb{F}} P_L(\mathbb{F}) \leq p^{\dim_{\mathbb{F}} L - \text{MT}(L)}.$$

We say that L has *maximal 0-PIM* if $\dim_{\mathbb{F}} P_L(\mathbb{F}) = p^{\dim_{\mathbb{F}} L - \text{MT}(L)}$. In this case it follows from Corollary 1.3 that $P_L(\mathbb{F}) \cong \text{Ind}_T^L(\mathbb{F}, 0)$ for any torus T in L of maximal dimension. Our goal in this section is to prove that any finite-dimensional solvable restricted Lie algebra L has maximal 0-PIM. In particular, the 0-PIM is induced from the one-dimensional trivial module of a torus of maximal dimension. The next result will be important in the induction step of the proof of Theorem 2.2 and in the proof of Theorem 6.3 (see also [16, Theorem VII.14.3] for the group-theoretic analogue).

Lemma 2.1. *Let L be a finite-dimensional restricted Lie algebra over a field of prime characteristic p , and let I be a p -ideal of L . Then L has maximal 0-PIM if, and only if, I and L/I have maximal 0-PIM.*

Proof. Suppose first that L has maximal 0-PIM. Then it follows from Theorem 1.5 and [22, Lemma 1.2.6(2)(a)] that

$$(2.2) \quad [\dim_{\mathbb{F}} P_I(\mathbb{F})] \cdot [\dim_{\mathbb{F}} P_{L/I}(\mathbb{F})] = p^{\dim_{\mathbb{F}} I - \text{MT}(I)} \cdot p^{\dim_{\mathbb{F}} L/I - \text{MT}(L/I)}.$$

Suppose that $\dim_{\mathbb{F}} P_I(\mathbb{F}) < p^{\dim_{\mathbb{F}} I - \text{MT}(I)}$. Then $\dim_{\mathbb{F}} P_{L/I}(\mathbb{F}) > p^{\dim_{\mathbb{F}} L/I - \text{MT}(L/I)}$, which contradicts (2.1). Hence $\dim_{\mathbb{F}} P_I(\mathbb{F}) = p^{\dim_{\mathbb{F}} I - \text{MT}(I)}$, and therefore also $\dim_{\mathbb{F}} P_{L/I}(\mathbb{F}) = p^{\dim_{\mathbb{F}} L/I - \text{MT}(L/I)}$. Consequently, I and L/I have maximal 0-PIM. Finally, the “if”-part is immediate from the equality in (2.2), Theorem 1.5, and [22, Lemma 1.2.6(2)(a)]. \square

Now we are ready to prove the first main result of this paper.

Theorem 2.2. *Every finite-dimensional solvable restricted Lie algebra over a field of prime characteristic has maximal 0-PIM.*

Proof. We may proceed by induction on the dimension of the solvable restricted Lie algebra L . If L is abelian, then the assertion is a consequence of [6, Satz II.3.2] (see also [8, Corollary 1]). In particular, it holds if $\dim_{\mathbb{F}} L = 1$. Thus we may assume that L is not abelian, and that the claim holds for all Lie algebras of dimension less than $\dim_{\mathbb{F}} L$.

As L is solvable but not abelian, the p -subalgebra $I := \langle [L, L] \rangle_p$ is a non-zero proper p -ideal of L (see [25, Exercise 2.1.2 and Proposition 2.1.3(4)]). By induction hypothesis, I and L/I have maximal 0-PIM, and therefore it follows from Lemma 2.1 that L also has maximal 0-PIM. \square

Remark. It is easy to see directly that one-dimensional restricted Lie algebras have maximal 0-PIM. As in the proof of Theorem 6.3 one could assume in the proof of Theorem 2.2 that the ground field is algebraically closed and then one could use in the induction step that finite-dimensional solvable restricted Lie algebras over algebraically closed fields have a p -ideal of codimension one.

According to the conjugacy of maximal tori due to David John Winter, any maximal torus of a finite-dimensional solvable restricted Lie algebra L has dimension $\text{MT}(L)$ (see [29, Proposition 2.17] or also [22, Theorem 1.5.6]). As a consequence of this in conjunction with Theorem 2.2, we obtain the following generalization of [6, Satz II.3.2], [8, Corollary 1], [3, Corollary 4.5], [4, Proposition 2.2], and [11, Proposition 1] to solvable restricted Lie algebras:

Corollary 2.3. *Let L be a finite-dimensional solvable restricted Lie algebra over a field \mathbb{F} of prime characteristic p , and let χ be a linear form on L . If S is a one-dimensional L -module with p -character χ , then $P_L(S) \cong \text{Ind}_T^L(S|_T, \chi)$ holds for every maximal torus T of L .*

Proof. As a consequence of Winter’s theorem on the conjugacy of maximal tori, any maximal torus T of L is a torus of maximal dimension $\text{MT}(L)$ (see [29, Proposition 2.17] or [22, Theorem 1.5.6]). Now it follows from [12, Lemma 1] and Theorem 2.2 that

$$\dim_{\mathbb{F}} P_L(S) = \dim_{\mathbb{F}} P_L(\mathbb{F}) = p^{\dim_{\mathbb{F}} L - \text{MT}(L)},$$

and the assertion is an immediate consequence of Corollary 1.3. \square

3. AN UPPER BOUND FOR THE NUMBER OF IRREDUCIBLE MODULES

As an application of Theorem 2.2 we obtain an upper bound for the number of the isomorphism classes of irreducible modules with a fixed p -character for a solvable restricted Lie algebra. This result generalizes [12, Theorem 4] and at the same time simplifies the proof considerably.

Theorem 3.1. *Let L be a finite-dimensional solvable restricted Lie algebra over an algebraically closed field \mathbb{F} of prime characteristic p , and let χ be a linear form on L . Then the number of isomorphism classes of irreducible L -modules with p -character χ is at most $p^{\text{MT}(L)}$.*

Proof. Let $\text{Irr}(L, \chi)$ denote the set of isomorphism classes of irreducible L -modules with p -character χ , and let $|\text{Irr}(L, \chi)|$ denote its cardinality. It follows from Proposition 1.4 and Theorem 2.2 that

$$\begin{aligned} p^{\dim_{\mathbb{F}} L} = \dim_{\mathbb{F}} u(L, \chi) &= \sum_{[S] \in \text{Irr}(L, \chi)} (\dim_{\mathbb{F}} S) [\dim_{\mathbb{F}} P_L(S)] \\ &= \sum_{[S] \in \text{Irr}(L, \chi)} \dim_{\mathbb{F}} [P_L(S) \otimes S^*] \\ &\geq |\text{Irr}(L, \chi)| \cdot \dim_{\mathbb{F}} P_L(\mathbb{F}) \\ &= |\text{Irr}(L, \chi)| \cdot p^{\dim_{\mathbb{F}} L - \text{MT}(L)}. \end{aligned}$$

Dividing both sides of the inequality by $p^{\dim_{\mathbb{F}} L - \text{MT}(L)}$ yields $|\text{Irr}(L, \chi)| \leq p^{\text{MT}(L)}$. \square

Remark. If one uses [8, Theorem 2] instead of Proposition 1.4, then the proof of Theorem 3.1 yields a new proof of [20, Satz 6].

Of course, the proof of Theorem 3.1 holds for any restricted Lie algebra with maximal 0-PIM, but we will show in the last section that, at least in characteristic $p > 3$, such Lie algebras are necessarily solvable.

4. INDUCED REPRESENTATIONS OF FILTERED RESTRICTED LIE ALGEBRAS

Let L be a restricted Lie algebra over a field of prime characteristic p with a descending restricted filtration

$$L = L_{(-1)} \supset L_{(0)} \supset L_{(1)} \supset \cdots \supset L_{(h)} \supset L_{(h+1)} = 0$$

of depth 1 and height h . For integers $n > h$ put $L_{(n)} := 0$ and for integers $m < -1$ put $L_{(m)} := L$. Recall that $[L_{(m)}, L_{(n)}] \subseteq L_{(m+n)}$ for all $m, n \in \mathbb{Z}$ and $L_{(n)}^{[p]} \subseteq L_{(pn)}$ for every $n \in \mathbb{Z}$ (see [25, Section 1.9 and Section 3.1]). In particular, $L_{(n)}$ is a p -subalgebra of L for every $n \in \mathbb{Z}$ and $L_{(n)}$ is p -unipotent for every integer $n \geq 1$.

The graded vector space $\text{gr}(L) := \bigoplus_{n \in \mathbb{Z}} \text{gr}_n(L)$, where $\text{gr}_n(L) := L_{(n)} / L_{(n+1)}$ for every $n \in \mathbb{Z}$, associated with the filtration $(L_{(n)})_{n \in \mathbb{Z}}$ carries canonically the structure of a graded restricted Lie algebra with bracket $[\cdot, \cdot]: \text{gr}(L) \times \text{gr}(L) \rightarrow \text{gr}(L)$ given by

$$[x + L_{(m+1)}, y + L_{(n+1)}] = [x, y] + L_{(m+n+1)} \quad \text{for all } m, n \in \mathbb{Z}, x \in L_{(m)}, y \in L_{(n)}$$

and $[p]$ -mapping $(\cdot)^{[p]}: \text{gr}(L) \rightarrow \text{gr}(L)$ given by

$$(x + L_{(n+1)})^{[p]} = x^{[p]} + L_{(pn+1)} \quad \text{for every } n \in \mathbb{Z} \text{ and for every } x \in L_{(n)}$$

(see [25, Theorem 3.3.1]).

Any descending filtration $(L_{(n)})_{n \in \mathbb{Z}}$ of a Lie algebra L induces a descending filtration $(U(L)_{(n)})_{n \in \mathbb{Z}}$ on the universal enveloping algebra $U(L)$ of L , where

$$U(L)_{(n)} := \sum_{\substack{s \geq 0, n_j \geq -1 \\ n_1 + \cdots + n_s \geq n}} L_{(n_1)} \cdots L_{(n_s)}.$$

Moreover, if $\text{gr}(U(L)) := \bigoplus_{n \in \mathbb{Z}} \text{gr}_n(U(L))$, where $\text{gr}_n(U(L)) := U(L)_{(n)}/U(L)_{(n+1)}$ for every $n \in \mathbb{Z}$, denotes the associated graded algebra, one has a canonical isomorphism $\phi_\bullet: U(\text{gr}(L)) \rightarrow \text{gr}(U(L))$ induced by $\phi(x + L_{(n+1)}) := x + U(L)_{(n+1)}$ for every $n \in \mathbb{Z}$ and every $x \in L_{(n)}$ (cf. [25, Theorem 1.9.5] for ascending filtrations).

Let $u(L) := u(L, 0)$ denote the restricted universal enveloping algebra of a restricted Lie algebra L . In particular, one has a surjective homomorphism of algebras $\pi: U(L) \rightarrow u(L)$. Then $u(L)$ carries the filtration $(u(L)_{(n)})_{n \in \mathbb{Z}}$ given by $u(L)_{(n)} := \pi(U(L)_{(n)})$ for every $n \in \mathbb{Z}$. Thus, if $\text{gr}(u(L)) := \bigoplus_{n \in \mathbb{Z}} \text{gr}_n(u(L))$, where $\text{gr}_n(u(L)) := u(L)_{(n)}/u(L)_{(n+1)}$ for every $n \in \mathbb{Z}$, denotes the graded algebra associated with the filtration $(u(L)_{(n)})_{n \in \mathbb{Z}}$, by construction, one has a canonical surjective homomorphism of graded algebras $\text{gr}(\pi): \text{gr}(U(L)) \rightarrow \text{gr}(u(L))$.

Suppose now that $(L_n)_{n \in \mathbb{Z}}$ is a restricted filtration of the restricted Lie algebra L as above. Then $\text{gr}(L)$ is a graded restricted Lie algebra, and one has a surjective homomorphism of graded algebras $\pi_{\text{gr}}: U(\text{gr}(L)) \rightarrow u(\text{gr}(L))$ with respect to the total degree. By construction, one has a homomorphism of graded restricted Lie algebras $\varphi: \text{gr}(L) \rightarrow \text{gr}(u(L))$ defined by $\varphi(x + L_{(n+1)}) := x + u(L)_{(n+1)}$, satisfying $\varphi((x + L_{(n+1)})^{[p]}) = \varphi(x + L_{(n+1)})^p$ for every $n \in \mathbb{Z}$ and every $x \in L_{(n)}$. Hence φ induces a homomorphism of graded algebras $\varphi_\bullet: u(\text{gr}(L)) \rightarrow \text{gr}(u(L))$, i.e., one has a commutative diagram

$$\begin{array}{ccc} U(\text{gr}(L)) & \xrightarrow{\phi_\bullet} & \text{gr}(U(L)) \\ \pi_{\text{gr}} \downarrow & & \downarrow \text{gr}(\pi) \\ u(\text{gr}(L)) & \xrightarrow{\varphi_\bullet} & \text{gr}(u(L)) \end{array}$$

In particular, φ_\bullet is surjective. The following result will be important for our purpose.

Proposition 4.1. *If $(L_n)_{n \in \mathbb{Z}}$ is a descending restricted filtration of a restricted Lie algebra L of depth 1 and height h , then $\varphi_\bullet: u(\text{gr}(L)) \rightarrow \text{gr}(u(L))$ is an isomorphism of graded algebras.*

Proof. Let $X = \bigsqcup_{-1 \leq n \leq h} X_n$ be an ordered basis of L such that

- (i) for $x \in X_m$ and $y \in X_n$ with $m < n$ one has $x < y$,
- (ii) $\{x + L_{(n+1)} \mid x \in X_n\}$ is a basis of $\text{gr}_n(L)$.

Let \mathfrak{F} denote the set of functions from X to $\{0, \dots, p-1\}$ with finite support. For $\alpha \in \mathfrak{F}$ let $x^\alpha \in u(L)$ denote the monomial $\prod_{x \in X} x^{\alpha(x)}$, where the product is taken with respect to increasing order. For $\alpha \in \mathfrak{F}$ put

$$|\alpha| := \sum_{-1 \leq n \leq h} n \cdot \sum_{x \in X_n} \alpha(x) \in \mathbb{Z}.$$

Then, by [25, Proposition 1.9.1] and Jacobson's analogue of the Poincaré-Birkhoff-Witt theorem (see [25, Theorem 2.5.1(2)]) $\{x^\alpha + u(L)_{(n+1)} \mid |\alpha| = n\}$ is a basis of $\text{gr}_n(u(L))$, and $\{\prod_{-1 \leq n \leq h} \prod_{x \in X_n} (x + L_{(n+1)})^{\alpha(x)} \mid |\alpha| = n\}$, where products are taken with respect to increasing order in X , is a basis of the homogeneous component of $u(\text{gr}(L))$ of total degree n . Hence, since φ is mapping a basis injectively onto a basis, φ_\bullet is an isomorphism. \square

From the proof of Proposition 4.1 one also deduces the following properties:

Corollary 4.2. *If $(L_{(n)})_{n \in \mathbb{Z}}$ is a descending restricted filtration of a restricted Lie algebra L of depth 1 and height h , then the following statements hold:*

- (1) $u(L)_{(1)} \subseteq u(L) \cdot \mathfrak{u}(L_{(1)})$, where $\mathfrak{u}(L_{(1)}) := \text{Ker}(u(L_{(1)}) \rightarrow \mathbb{F})$ denotes the augmentation ideal of $u(L_{(1)})$.
- (2) $u(L)_{(0)} \subseteq u(L_{(0)}) + u(L) \cdot \mathfrak{u}(L_{(1)})$.

Let $(L_{(n)})_{n \in \mathbb{Z}}$ be a descending restricted filtration of a restricted Lie algebra L of depth 1 and height h . Then every restricted $\text{gr}_0(L)$ -module V can be considered as a restricted $L_{(0)}$ -module. The induced module

$$M := \text{Ind}_{L_{(0)}}^L(V, 0) := u(L) \otimes_{u(L_{(0)})} V$$

has a descending filtration $(M_{(r)})_{r \in \mathbb{Z}}$ given by $M_{(r)} := u(L)_{(r)}(1 \otimes V)$, i.e., for all $r, s \in \mathbb{Z}$ one has

$$(4.1) \quad u(L)_{(r)} \cdot M_{(s)} \subseteq M_{(r+s)}.$$

Since the restricted $L_{(0)}$ -module V is inflated from $\text{gr}_0(L)$, Corollary 4.2 implies that $M_{(0)} = 1 \otimes V$, and $M_{(r)} = 0$ for every integer $r > 0$.

Let $\text{gr}(M) := \bigoplus_{r \in \mathbb{Z}} \text{gr}_r(M)$, where $\text{gr}_r(M) := M_{(r)}/M_{(r+1)}$ for every $r \in \mathbb{Z}$, denote the associated graded vector space. According to (4.1), $\text{gr}(M)$ is a $\text{gr}(u(L))$ -module. Thus, by Proposition 4.1, $\text{gr}(M)$ may be considered as a restricted $\text{gr}(L)$ -module.

Theorem 4.3. *Let L be a restricted Lie algebra, and let $(L_{(n)})_{n \in \mathbb{Z}}$ be a descending restricted filtration of L of depth 1 and height h . Let V be a restricted $\text{gr}_0(L)$ -module, and let $M := \text{Ind}_{L_{(0)}}^L(V, 0)$. Then one has a canonical isomorphism of graded restricted $\text{gr}(L)$ -modules*

$$\text{Ind}_{\text{gr}_+(L)}^{\text{gr}(L)}(V, 0) \cong \text{gr}(M),$$

where $\text{gr}_+(L) := \bigoplus_{n \geq 0} \text{gr}_n(L)$. In particular, if $\text{Ind}_{\text{gr}_+(L)}^{\text{gr}(L)}(V, 0)$ is an irreducible $\text{gr}(L)$ -module, then M is an irreducible L -module.

Proof. It follows from $M_{(0)} = 1 \otimes V$ and $M_{(r)} = 0$ for every integer $r > 0$ that one has an isomorphism $\iota: V \rightarrow \text{gr}_0(M)$ of graded $u(\text{gr}_+(L))$ -modules. As induction is the left-adjoint of the restriction functor, this yields a mapping of graded $u(\text{gr}(L))$ -modules $\iota_\bullet: \text{Ind}_{\text{gr}_+(L)}^{\text{gr}(L)}(V, 0) \rightarrow \text{gr}(M)$. By construction, ι_\bullet is surjective.

Let $X_{-1} \subseteq L$ be an ordered set such that $\{x + L_{(0)} \mid x \in X_{-1}\}$ is a basis of $\text{gr}_{-1}(L)$. Then, using the same notation as used in the proof of Proposition 4.1, one obtains for $r < 0$ an isomorphism of vector spaces

$$\text{gr}_r(M) \cong \bigoplus_{\alpha \in \mathfrak{F}, |\alpha|=r} \mathbb{F}x^\alpha \otimes V,$$

where $|\alpha| := -\sum_{x \in X_{-1}} \alpha(x)$. By Jacobson's analogue of the Poincaré-Birkhoff-Witt theorem (see [25, Theorem 2.5.1(2)]), one has an isomorphism of graded vector spaces

$$u(\text{gr}(L)) \otimes_{u(\text{gr}_+(L))} \mathbb{F} \cong \mathbb{F}[X_{-1}]/\mathbb{F}[X_{-1}]\{x^p \mid x \in X_{-1}\}.$$

This yields the desired isomorphism. The final remark follows from the fact that any non-zero proper L -submodule S of M gives rise to a non-zero proper $\text{gr}(L)$ -module $\text{gr}(S)$ of $\text{gr}(M)$, where $\text{gr}_r(S) := (S \cap M_{(r)}) + M_{(r+1)}/M_{(r+1)}$ for every $r \in \mathbb{Z}$. \square

5. REPRESENTATIONS OF NON-GRADED HAMILTONIAN LIE ALGEBRAS

Let $\mathcal{O}(2; \underline{1}) = \mathbb{F}[x, y]/\mathbb{F}[x, y]\{x^p, y^p\}$ denote the truncated polynomial algebra in two variables x and y over a field \mathbb{F} of prime characteristic p . By $\mathcal{O}(2; \underline{1})^{(1)}$ we denote its augmentation ideal, i.e., $f \in \mathcal{O}(2; \underline{1})^{(1)}$ if, and only if, f has zero constant term. Moreover, $\partial_x = \partial/\partial x$ and $\partial_y = \partial/\partial y$ will denote the partial derivatives of the algebra $\mathcal{O}(2; \underline{1})$.

The Hamiltonian Lie algebra $H(2; \underline{1})$ is defined as the subalgebra of the Jacobson-Witt algebra $W(2; \underline{1})$ whose elements annihilate the standard 2-form $\omega_H := dx \wedge dy$, i.e., one has

$$(5.1) \quad H(2; \underline{1}) := \{D \in W(2; \underline{1}) \mid D(\omega_H) = 0\}$$

$$(5.2) \quad = \{f\partial_x + g\partial_y \in W(2; \underline{1}) \mid \partial_y(g) = -\partial_x(f)\}.$$

Since $W(2; \underline{1})$ is a graded restricted Lie algebra, (5.1) implies that $H(2; \underline{1})$ is also a graded restricted Lie algebra. Let $\{\cdot, \cdot\}: \mathcal{O}(2; \underline{1}) \times \mathcal{O}(2; \underline{1}) \rightarrow \mathcal{O}(2; \underline{1})$ denote the standard Poisson bracket given by

$$(5.3) \quad \{f, g\} = (\partial_x f)(\partial_y g) - (\partial_y f)(\partial_x g) \quad \text{for all } f, g \in \mathcal{O}(2; \underline{1}).$$

Then $(\mathcal{O}(2; \underline{1}), \{\cdot, \cdot\})$ is a Lie algebra, and the canonical map (of degree -2)

$$(5.4) \quad \mathbf{D}: (\mathcal{O}(2; \underline{1}), \{\cdot, \cdot\}) \rightarrow W(2; \underline{1}), \quad \mathbf{D}(f) := \partial_x(f)\partial_y - \partial_y(f)\partial_x \quad \text{for } f \in \mathcal{O}(2; \underline{1}),$$

defines a Lie algebra homomorphism satisfying $\text{Ker}(\mathbf{D}) = \mathbb{F}1$ and $\text{Im}(\mathbf{D}) \subseteq H(2; \underline{1})$. It is well known that $\text{Im}(\mathbf{D})$ is an ideal in $H(2; \underline{1})$ containing the derived subalgebra of $H(2; \underline{1})$. Moreover, for $p \geq 3$

$$(5.5) \quad H(2; \underline{1})^{(2)} = \langle \{\mathbf{D}(x^a y^b) \mid 0 < a + b < 2(p-1)\} \rangle_{\mathbb{F}} \subset H(2; \underline{1})$$

is a simple ideal of $H(2; \underline{1})$. For further details see [22, §4.2] and [25, §4.4]. (Note that in [25], the algebra $H(2; \underline{1})$ is denoted by $H''(2; \underline{1})$, and that $\text{Im}(\mathbf{D})$ is denoted by $H'(2; \underline{1})$.)

Define $\Gamma := x^{p-1}\partial_y$ and $\Theta := -y^{p-1}\partial_x$. Then, by (5.2), $\Gamma, \Theta \in H(2; \underline{1})$. Since $x^{p-1} \notin \text{Im}(\partial_x)$ and $y^{p-1} \notin \text{Im}(\partial_y)$, (5.4) implies that $\Gamma, \Theta \notin \text{Im}(\mathbf{D})$. Hence

$$(5.6) \quad \mathbf{Y} := \text{Im}(\mathbf{D}) \oplus \mathbb{F}\Gamma \oplus \mathbb{F}\Theta \subseteq H(2; \underline{1})$$

is a graded subalgebra of $H(2; \underline{1})$ of dimension $p^2 + 1$. (Indeed, it follows from [1, Proposition 2.1.8(b)(ii)] that $\dim_{\mathbb{F}} H(2; \underline{1}) = p^2 + 1$, so $\mathbf{Y} = H(2; \underline{1})$, but this is irrelevant for our purpose.) From the identities

$$(5.7) \quad [\Gamma, \mathbf{D}(x^a y^b)] = b \mathbf{D}(x^{p-1+a} y^{b-1}),$$

$$(5.8) \quad [\Theta, \mathbf{D}(x^a y^b)] = -a \mathbf{D}(x^{a-1} y^{p-1+b}),$$

$$(5.9) \quad [\Gamma, \Theta] = \mathbf{D}(x^{p-1} y^{p-1}),$$

$$(5.10) \quad [\mathbf{D}(x), \mathbf{D}(x^a y^b)] = b \mathbf{D}(x^a y^{b-1}),$$

$$(5.11) \quad [\mathbf{D}(y), \mathbf{D}(x^a y^b)] = -a \mathbf{D}(x^{a-1} y^b),$$

$$(5.12) \quad \mathbf{D}(x^a y^b)^{[p]} = \begin{cases} 0 & \text{if } (a, b) \neq (1, 1), \\ \mathbf{D}(xy) & \text{if } a = b = 1, \end{cases}$$

$$(5.13) \quad \Gamma^{[p]} = 0,$$

$$(5.14) \quad \Theta^{[p]} = 0.$$

for all $a, b \in \{0, \dots, p-1\}$ such that $(a, b) \neq (0, 0)$, one concludes that \mathbf{Y} is a graded p -subalgebra of $H(2; \underline{1})$. Moreover, by construction, one has the following property:

Proposition 5.1. *The graded vector space $\text{Coker}(H(2; \underline{1})^{(2)} \rightarrow \mathbf{Y})$ is concentrated in degrees $p-2$ and $2p-4$.*

Remark. Note that $\mathbf{Y}_0 := \mathbf{Y} \cap H(2; \underline{1})_0 \cong \mathfrak{sl}_2(\mathbb{F})$ (see [25, Proposition 4.4.4(4)]).

The Hamiltonian Lie algebra $H(2; \underline{1}; \Phi(\tau))$ is defined as the subalgebra of the Jacobson-Witt algebra $W(2; \underline{1})$ whose elements annihilate the 2-form

$$\omega_{\Phi(\tau)} := (1 + x^{p-1}y^{p-1}) dx \wedge dy,$$

i.e., one has

$$(5.15) \quad H(2; \underline{1}; \Phi(\tau)) := \{D \in W(2; \underline{1}) \mid D(\omega_{\Phi(\tau)}) = 0\}.$$

In particular, $H(2; \underline{1}; \Phi(\tau))$ is a p -subalgebra of $W(2; \underline{1})$, and an element $f\partial_x + g\partial_y \in W(2; \underline{1})$ is contained in $H(2; \underline{1}; \Phi(\tau))$ if, and only if,

$$(5.16) \quad (1 + x^{p-1}y^{p-1})(\partial_x f + \partial_y g) - x^{p-2}y^{p-2}(yf + xg) = 0.$$

For the distinguished element $\Lambda = 1 - x^{p-1}y^{p-1} \in \mathcal{O}(2; \underline{1})$ one defines the Poisson bracket $\{\cdot, \cdot\}_\Lambda : \mathcal{O}(2; \underline{1}) \times \mathcal{O}(2; \underline{1}) \rightarrow \mathcal{O}(2; \underline{1})$ by

$$(5.17) \quad \{f, g\}_\Lambda = ((\partial_x f)(\partial_y g) - (\partial_y f)(\partial_x g))\Lambda \quad \text{for all } f, g \in \mathcal{O}(2; \underline{1}).$$

Then $(\mathcal{O}(2; \underline{1}), \{\cdot, \cdot\}_\Lambda)$ is a Lie algebra, and the map $\mathbf{D}_\Lambda = \Lambda \cdot \mathbf{D} : \mathcal{O}(2; \underline{1}) \rightarrow W(2; \underline{1})$, where \mathbf{D} is defined as in (5.4), is a homomorphism of Lie algebras satisfying $\text{Ker}(\mathbf{D}_\Lambda) = \mathbb{F}\Lambda$ and $H := \text{Im}(\mathbf{D}_\Lambda) \subseteq H(2; \underline{1}; \Phi(\tau))$. Moreover, one has

$$(5.18) \quad \{(a, b) \mid 0 \leq a, b \leq p-1, \mathbf{D}_\Lambda(x^a y^b) \neq \mathbf{D}(x^a y^b)\} = \{(1, 0), (0, 1)\}.$$

If $p > 3$, then H coincides with the derived subalgebra $H(2; \underline{1}; \Phi(\tau))^{(1)}$ of $H(2; \underline{1}; \Phi(\tau))$ which is a simple Lie algebra. For further details the reader may wish to consult [21, §1] and the references therein, as well as [22, §6.3].

Let $\Gamma := x^{p-1}\partial_y$, $\Theta := -y^{p-1}\partial_x \in W(2; \underline{1})$ be given as before. Then, by (5.16), $\Gamma, \Theta \in H(2; \underline{1}; \Phi(\tau))$, but $\Gamma, \Theta \notin H$, and

$$(5.19) \quad L := H \oplus \mathbb{F}\Gamma \oplus \mathbb{F}\Theta,$$

is a p -subalgebra of $H(2; \underline{1}; \Phi(\tau))$ that is isomorphic to $\text{Der}(H)$ (cf. [21, Proposition 1.1(1)]). Hence, for $p > 3$, it follows from [24, Theorem 10.3.1] and the argument in the middle of [24, p. 41] that L coincides with the minimal p -envelope

of H in $W(2; \underline{1})$. The following identities hold in L (see [21, p. 582]):

$$(5.20) \quad [\Gamma, \mathbf{D}_\Lambda(x^a y^b)] = b \mathbf{D}_\Lambda(x^{p-1+a} y^{b-1}),$$

$$(5.21) \quad [\Theta, \mathbf{D}_\Lambda(x^a y^b)] = -a \mathbf{D}_\Lambda(x^{a-1} y^{p-1+b}),$$

$$(5.22) \quad [\Gamma, \Theta] = \mathbf{D}_\Lambda(x^{p-1} y^{p-1}),$$

$$(5.23) \quad [\mathbf{D}_\Lambda(x), \mathbf{D}_\Lambda(x^a y^b)] = \begin{cases} b \mathbf{D}_\Lambda(x^a y^{b-1}) & \text{if } (a, b) \neq (0, 1), \\ -\mathbf{D}_\Lambda(x^{p-1} y^{p-1}) & \text{if } (a, b) = (0, 1), \end{cases}$$

$$(5.24) \quad [\mathbf{D}_\Lambda(y), \mathbf{D}_\Lambda(x^a y^b)] = \begin{cases} -a \mathbf{D}_\Lambda(x^{a-1} y^b) & \text{if } (a, b) \neq (1, 0), \\ \mathbf{D}_\Lambda(x^{p-1} y^{p-1}) & \text{if } (a, b) = (1, 0), \end{cases}$$

$$(5.25) \quad \mathbf{D}_\Lambda(x^a y^b)^{[p]} = \begin{cases} 0 & \text{if } (a, b) \notin \{(0, 1), (1, 0), (1, 1)\}, \\ \mathbf{D}_\Lambda(xy) & \text{if } a = b = 1, \\ \Gamma & \text{if } (a, b) = (1, 0), \\ \Theta & \text{if } (a, b) = (0, 1), \end{cases}$$

$$(5.26) \quad \Gamma^{[p]} = 0,$$

$$(5.27) \quad \Theta^{[p]} = 0.$$

The natural grading on $W(2; \underline{1})$ induces filtrations

$$(5.28) \quad H_{(n)} := H \cap W(2; \underline{1})_{(n)}, \quad L_{(n)} := L \cap W(2; \underline{1})_{(n)} \quad \text{for every } n \in \mathbb{Z},$$

where $W(2; \underline{1})_{(n)} = \bigoplus_{d \geq n} W(2; \underline{1})_d$. The following result will be important for our purpose.

Proposition 5.2. *The family $(L_{(n)})_{n \in \mathbb{Z}}$ is a descending restricted filtration of L of depth 1 and height $2p - 4$. Moreover, $\text{gr}(L) \cong \mathbf{Y}$.*

Proof. According to [21, Proposition 1.2(1)], one has that $L = L_{(-1)}$, $H = H_{(-1)}$, $H_{(n)} = L_{(n)} = 0$ for $n > 2p - 4$, and for $-1 \leq n \leq 2p - 4$:

$$(5.29) \quad \begin{aligned} H_{(n)} &= \mathbb{F} \mathbf{D}_\Lambda(x^{p-1} y^{p-1}) + \langle \{ \mathbf{D}_\Lambda(x^a y^b) \mid n+2 \leq a+b \leq 2p-3 \} \rangle_{\mathbb{F}}, \\ L_{(n)} &= \begin{cases} H_{(n)} \oplus \mathbb{F} \Gamma \oplus \mathbb{F} \Theta & \text{for } -1 \leq n \leq p-2, \\ H_{(n)} & \text{for } p-2 < n \leq 2p-4. \end{cases} \end{aligned}$$

From the identities (5.25)–(5.27) one obtains that $L_{(n)}^{[p]} \subseteq L_{(pn)}$ for every integer $n \geq 0$. In the associated graded algebra $\text{gr}(L)$ one has the additional identity (see (5.24))

$$(5.30) \quad [\mathbf{D}_\Lambda(x) + L_{(0)}, \mathbf{D}_\Lambda(y) + L_{(0)}] = 0.$$

Hence using (5.30) and the identities (5.20)–(5.24) one concludes that the linear map $\psi: \text{gr}(L) \rightarrow \mathbf{Y}$ given by

$$(5.31) \quad \begin{aligned} \psi(\mathbf{D}_\Lambda(x^a y^b) + L_{(a+b-1)}) &:= \mathbf{D}(x^a y^b), \\ \psi(\Gamma + L_{(p-1)}) &:= \Gamma, \\ \psi(\Theta + L_{(p-1)}) &:= \Theta, \end{aligned}$$

is an isomorphism of graded Lie algebras. The identities (5.25)–(5.27) imply that the mapping $\psi|_{\text{gr}_+(L)}: \text{gr}_+(L) \rightarrow \mathbf{Y}$ is a homomorphism of restricted Lie algebras.

Thus, as \mathbf{Y} is a graded restricted Lie algebra, the filtration $(L_{(n)})_{n \in \mathbb{Z}}$ is restricted. \square

It is well known that $L_{(0)}/L_{(1)} \cong \mathbf{Y}_0 \cong \mathfrak{sl}_2(\mathbb{F})$ (see [21, Proposition 1.2(2.b)] and the remark after Proposition 5.1). For $\lambda \in \{0, \dots, p-1\}$ let $V(\lambda)$ denote the irreducible restricted $\mathfrak{sl}_2(\mathbb{F})$ -module of highest weight λ , i.e., $\dim_{\mathbb{F}} V(\lambda) = \lambda + 1$. By $V(\lambda)$ we will also denote its inflation to $L_{(0)}$. The following result will be important for the proof of the main result in the next section.

Theorem 5.3. *Let \mathbb{F} be an algebraically closed field of characteristic $p > 3$. Then the restricted L -module $M(\lambda) := \text{Ind}_{L_{(0)}}^L(V(\lambda), 0)$ is irreducible for every $\lambda \in \{2, \dots, p-1\}$.*

Proof. By virtue of Proposition 5.2, $(L_{(n)})_{n \in \mathbb{Z}}$ is a restricted filtration of L and $\text{gr}(L) \cong \mathbf{Y}$. Put $\mathbf{X} := H(2; \underline{1})^{(2)} \subseteq \mathbf{Y}$, and set $\mathbf{X}_{(n)} := \mathbf{X} \cap \mathbf{Y}_{(n)}$ for any $n \in \mathbb{Z}$. According to Proposition 5.1, $\text{Coker}(\mathbf{X} \rightarrow \mathbf{Y})$ is concentrated in degrees $p-2$ and $2p-4$. Hence the canonical map

$$(5.32) \quad \text{Ind}_{\mathbf{X}_{(0)}}^{\mathbf{X}}(V(\lambda)|_{\mathbf{X}_{(0)}}, 0) \longrightarrow \text{Ind}_{\mathbf{Y}_{(0)}}^{\mathbf{Y}}(V(\lambda), 0)|_{\mathbf{X}}$$

is an isomorphism. As $\text{Ind}_{\mathbf{X}_{(0)}}^{\mathbf{X}}(V(\lambda)|_{\mathbf{X}_{(0)}}, 0)$ is an irreducible restricted \mathbf{X} -module for $\lambda \neq 0, 1$ (see [14, p. 253]), this implies that $\text{Ind}_{\mathbf{Y}_{(0)}}^{\mathbf{Y}}(V(\lambda), 0)$ is an irreducible \mathbf{Y} -module. Consequently, by Theorem 4.3, $M(\lambda)$ is an irreducible L -module unless $\lambda = 0, 1$. \square

Remark. Since the induced modules in Theorem 5.3 coincide with the corresponding coinduced modules, and as Shen's mixed products are isomorphic to coinduced modules (see [2, Corollary 2.6] and [5, Proposition 1.5(1)]), the irreducibility of $\text{Ind}_{\mathbf{X}_{(0)}}^{\mathbf{X}}(V(\lambda)|_{\mathbf{X}_{(0)}}, 0)$ in the proof of Theorem 5.3 follows also from [19, Proposition 1.2].

6. RESTRICTED LIE ALGEBRAS WITH MAXIMAL 0-PIM

Our goal in this section is to prove that for fields of characteristic $p > 3$ finite-dimensional restricted Lie algebras having maximal 0-PIM are necessarily solvable. The following criterion for a restricted Lie algebra having maximal 0-PIM will be very useful in the proof of this result. For a Lie algebra L and any L -module M we denote by $M^L := \{m \in M \mid \forall x \in L : x \cdot m = 0\}$ the *space of L -invariants* of M .

Lemma 6.1. *Let L be a finite-dimensional restricted Lie algebra over a field of prime characteristic, and let T be a torus in L of maximal dimension. Then L has maximal 0-PIM if, and only if, $S^T = 0$ for every non-trivial irreducible restricted L -module S .*

Proof. Suppose first that L has maximal 0-PIM. Then it follows from Corollary 1.3 that $P_L(\mathbb{F}) \cong \text{Ind}_T^L(\mathbb{F}, 0)$. Since $\text{Hom}_L(P_L(\mathbb{F}), S) = 0$ for every non-trivial irreducible restricted L -module S , Frobenius reciprocity yields:

$$(6.1) \quad S^T \cong \text{Hom}_T(\mathbb{F}, S|_T) \cong \text{Hom}_L(\text{Ind}_T^L(\mathbb{F}, 0), S) \cong \text{Hom}_L(P_L(\mathbb{F}), S) = 0$$

for every non-trivial irreducible restricted L -module S .

Conversely, suppose that $S^T = 0$ for every non-trivial irreducible restricted L -module S . Reading (6.1) backwards shows that the head of $\text{Ind}_T^L(\mathbb{F}, 0)$ is a trivial L -module. On the other hand, applying Frobenius reciprocity to the one-dimensional

trivial irreducible L -module, one has $\text{Hom}_L(\text{Ind}_T^L(\mathbb{F}, 0), \mathbb{F}) \cong \text{Hom}_T(\mathbb{F}, \mathbb{F}) \cong \mathbb{F}$. This implies that the head of $\text{Ind}_T^L(\mathbb{F}, 0)$ is one-dimensional, and therefore $\text{Ind}_T^L(\mathbb{F}, 0)$ is indecomposable. By virtue of Proposition 1.2, $P_L(\mathbb{F})$ is a direct summand of $\text{Ind}_T^L(\mathbb{F}, 0)$. As a consequence one obtains that $P_L(\mathbb{F}) \cong \text{Ind}_T^L(\mathbb{F}, 0)$. Hence L has maximal 0-PIM. \square

As we could not find a reference for the following result, which will be needed in the proof of Theorem 6.3, it is included here for completeness.

Lemma 6.2. *Let L be a non-abelian restricted Lie algebra over a field of prime characteristic p with no non-zero proper p -ideals. Then the following statements hold:*

- (1) L is a minimal p -envelope of $[L, L]$.
- (2) $[L, L]$ is simple as an ordinary Lie algebra.
- (3) $[L, L]$ is a non-trivial irreducible L -module.

Proof. (1): Consider the p -ideal $\langle [L, L] \rangle_p$ of L (cf. [25, Proposition 2.1.3(4)]). Then $0 \neq [L, L] \subseteq \langle [L, L] \rangle_p$, and thus by assumption $\langle [L, L] \rangle_p = L$. Accordingly, L is a p -envelope of $[L, L]$. As the center $C(L)$ of L is a p -ideal of L and L is not abelian, it follows by assumption that $C(L) = 0 \subseteq [L, L]$. Hence [25, Theorem 2.5.8(3)] implies that L is a minimal p -envelope of $[L, L]$.

(2): Suppose that I is a non-zero ideal of $[L, L]$. By virtue of (1) and [25, Proposition 2.1.3(1)], we have

$$[L, I] = [\langle [L, L] \rangle_p, I] = \left[\sum_{n \in \mathbb{Z}_{\geq 0}} \langle [L, L]^{[p]^n} \rangle_{\mathbb{F}}, I \right] = \sum_{n \in \mathbb{Z}_{\geq 0}} \text{ad}([L, L])^{p^n}(I) \subseteq I,$$

i.e., I is an ideal of L . Then by [25, Proposition 2.1.3(4)] $\langle I \rangle_p$ is a non-zero p -ideal of L , and therefore by assumption $\langle I \rangle_p = L$. Applying [25, Proposition 2.1.3(2)] yields

$$[L, L] = [\langle I \rangle_p, \langle I \rangle_p] = [I, I] \subseteq I.$$

Consequently, $I = [L, L]$, and thus $[L, L]$ is simple as an ordinary Lie algebra.

(3): The proof of (2) also shows that $[L, L]$ is an irreducible L -module which is non-trivial as $C(L) = 0$. \square

Theorem 6.3. *Let L be a finite-dimensional restricted Lie algebra over a field of prime characteristic $p > 3$. Then L has maximal 0-PIM if, and only if, L is solvable.*

Proof. One implication is just Theorem 2.2, so that only the converse has to be proved.

Let $\overline{\mathbb{F}}$ denote an algebraic closure of the ground field \mathbb{F} of L , and set $\overline{L} := \overline{\mathbb{F}} \otimes_{\mathbb{F}} L$. As the trivial irreducible L -module \mathbb{F} is absolutely irreducible, we have that

$$P_{\overline{L}}(\overline{\mathbb{F}}) \cong \overline{\mathbb{F}} \otimes_{\mathbb{F}} P_L(\mathbb{F}).$$

Hence we may assume that the ground field of L is algebraically closed.

Suppose that there exists a non-solvable restricted Lie algebra L with maximal 0-PIM. Furthermore, we may assume that L has minimal dimension, i.e., every proper p -subalgebra of L is either solvable or does not have maximal 0-PIM.

Suppose now in addition that L has a non-zero proper p -ideal I . According to Lemma 2.1, I and L/I have maximal 0-PIM. By the minimality of L , they both must be solvable, but then also L would be solvable which is a contradiction. So for

the remainder of the proof we may assume that L has no non-zero proper p -ideal. Hence it follows from Lemma 6.2 that the derived subalgebra $[L, L]$ of L is a simple Lie algebra and that L is a minimal p -envelope of $[L, L]$.

We first discuss the case that $[L, L]$ has absolute toral rank one. By Engel's theorem there exists an element x of $[L, L]$ such that $\text{ad}x$ is not nilpotent on $[L, L]$. Consider the Jordan-Chevalley-Seligman-Schue decomposition $x = x_s + x_n$ of x in the restricted Lie algebra L , where x_s and x_n denote the semisimple part and the p -nilpotent part of x , respectively (see [25, Theorem 2.3.5]). Then $T := \langle x_s \rangle_p$ is a torus of L of maximal dimension and $[L, L]^T \supseteq \mathbb{F}x \neq 0$. By virtue of Lemma 6.2(3), $[L, L]$ is a non-trivial irreducible restricted L -module. Hence we conclude from Lemma 6.1 that L does not have maximal 0-PIM, which is a contradiction.

Let H be any 2-section of L with respect to a torus T of L of maximal dimension (cf. [22, Definition 1.3.9]). As $T \subseteq H$, we have $\text{MT}(L) = \text{MT}(H)$. Moreover, it follows from Proposition 1.1 that $P_L(\mathbb{F})$ is a direct summand of $\text{Ind}_H^L(P_H(\mathbb{F}), 0)$ and therefore [25, Proposition 5.6.2] yields:

$$\dim_{\mathbb{F}} P_H(\mathbb{F}) \geq \frac{\dim_{\mathbb{F}} P_L(\mathbb{F})}{p^{\dim_{\mathbb{F}} L - \dim_{\mathbb{F}} H}} = p^{\dim_{\mathbb{F}} H - \text{MT}(H)}.$$

Hence by Proposition 1.2, H has maximal 0-PIM, and the minimality of L implies that either $L = H$ or H is solvable. In the latter case we conclude from [22, Theorem 1.3.10] that L must also be solvable, which is a contradiction. Consequently, $\text{MT}(L) = \text{MT}(H) = 2$, and thus it follows from [22, Lemma 1.2.6(1)] that $[L, L]$ has absolute toral rank two.

We use [24, Theorem, p. 2] and proceed by a case-by-case analysis. Note that the simple Lie algebras A_2 , B_2 , G_2 , $W(2; \underline{1})$, $S(3; \underline{1})^{(1)}$, $H(4; \underline{1})^{(1)}$, $K(3; \underline{1})$, and $\mathcal{M}(1, 1)$ are restricted, so that $[L, L] = L$. Hence in all these cases one has $[L, L]^T \neq 0$ for any torus T of L , which contradicts Lemma 6.1.

Next, consider $[L, L] \cong W(1; 2)$. Suppose that $[L, L] \cap T = 0$ for some two-dimensional torus T of L . Then it follows from [25, Proposition 4.2.2(2)] and [22, Theorem 7.2.2(1)] that $\dim_{\mathbb{F}}([L, L] + T) > \dim_{\mathbb{F}} L$, which is a contradiction. Hence

$$0 \neq [L, L] \cap T \subseteq [L, L]^T$$

for every two-dimensional torus T of L , which again contradicts Lemma 6.1.

If $[L, L] \cong H(2; (1, 2))^{(2)}$ or $[L, L] \cong H(2; \underline{1}; \Phi(1))$, then it follows from [24, Lemma 10.2.3] and [24, Theorem 10.4.6(1)], respectively, that

$$\dim_{\mathbb{F}}[L, L]^T \geq \dim_{\mathbb{F}}([L, L] \cap T) = 1$$

for every two-dimensional torus T of L , which once more contradicts Lemma 6.1.

Thus we must have $[L, L] \cong H(2; \underline{1}; \Phi(\tau))^{(1)}$. Let T be a two-dimensional torus in L . Moreover, let $(L_{(n)})_{-1 \leq n \leq 2p-4}$ denote the descending restricted filtration of L considered in Section 5. Then $\text{gr}_0(L) \cong \mathfrak{sl}_2(\mathbb{F})$ (see [21, Proposition 1.2(2.b)], and by [21, Proposition 1.2(2.a)], $\text{gr}_{-1}(L)$ is isomorphic as an $L_{(0)}$ -module to the module $V(1)$ inflated from the two-dimensional irreducible $\mathfrak{sl}_2(\mathbb{F})$ -module $V(1)$. In particular, since every non-zero torus T_0 of $L_{(0)}$ is one-dimensional and 0 is not a weight of T_0 on $\text{gr}_{-1}(L) \cong V(1)$, it follows that $L_{(0)} \cap T = \{0\}$. Consequently, one concludes by comparison of dimensions that $L = L_{(0)} \oplus T$. According to Theorem 5.3, the L -module $M(2) := \text{Ind}_{L_{(0)}}^L(V(2), 0)$ is irreducible. Now, by [25, Theorem 2.3.6(1)], there exists a toral basis $\{t_1, t_2\}$ for T . As $L = L_{(0)} \oplus T$, the subspace $(1 - t_1^{p-1})(1 - t_2^{p-1})M(2)$ of $M(2)$ is non-zero, and it is clear that it is

annihilated by T . This assures the existence of a non-trivial irreducible L -module $S := M(2)$ such that $S^T \neq 0$ which again contradicts Lemma 6.1. \square

Remark. Note that it follows from [24, Theorem 10.3.2(2)] that

$$[H(2; \underline{1}; \Phi(\tau))^{(1)}]^T = 0$$

for every torus T of maximal dimension in a minimal p -envelope of $H(2; \underline{1}; \Phi(\tau))^{(1)}$. This is the reason that the argument in this case is much more involved than in the other cases.

In the case that $[L, L] \cong W(1; 2)$ one can prove directly that L does not have maximal 0-PIM. Namely, as $p > 3$, it follows from [18, Theorem 2.5.9] in conjunction with [22, Theorem 7.2.2(1), Lemma 1.2.6(1), and Theorem 7.6.3(2)] that

$$\dim_{\mathbb{F}} P_L(\mathbb{F}) = 2p^{p^2-2} < p^{p^2-1} = p^{\dim_{\mathbb{F}}(L) - \text{MT}(L)}.$$

This argument also motivated the example at the end of this section.

We conclude the paper by presenting an example of a non-solvable restricted Lie algebra in characteristic two that has maximal 0-PIM. In fact, the restricted Lie algebra in the example is semisimple as an ordinary Lie algebra (see [13, Proposition 1.4(2)]) and simple as a restricted Lie algebra (see [13, Proposition 1.4(1)]).

Example. Let $W(1; 2) = \mathbb{F}e_{-1} \oplus \mathbb{F}e_0 \oplus \mathbb{F}e_1 \oplus \mathbb{F}e_2$ be a Zassenhaus algebra over an algebraically closed field \mathbb{F} of characteristic two. (Here we set $e_{-1} := \partial$ and $e_k := x^{(k+1)}\partial$ for $k = 0, 1, 2$, where $\mathcal{O}(1; 2) := \mathbb{F}x^{(0)} \oplus \mathbb{F}x^{(1)} \oplus \mathbb{F}x^{(2)} \oplus \mathbb{F}x^{(3)}$ is a divided power algebra in one variable x over \mathbb{F} , $\partial(x^{(0)}) := 0$, and $\partial(x^{(a)}) := x^{(a-1)}$ for $1 \leq a \leq 3$.) Then $W(1; 2)^{(1)} = \mathbb{F}e_{-1} \oplus \mathbb{F}e_0 \oplus \mathbb{F}e_1$ is a simple Lie algebra and $\mathfrak{W} := \mathfrak{W}(1; 2) = \mathbb{F}e_{-2} \oplus \mathbb{F}e_{-1} \oplus \mathbb{F}e_0 \oplus \mathbb{F}e_1 \oplus \mathbb{F}e_2$ (with $e_{-2} := \partial^2$) is a minimal 2-envelope of $W(1; 2)$ as well as of $W(1; 2)^{(1)}$. Note that \mathfrak{W} is the full derivation algebra of $W(1; 2)^{(1)}$ (see [23, Proposition 3.3(1)]), and as such \mathfrak{W} is a restricted Lie algebra. The elements $t_{\pm} := e_0 + e_{\pm 1} + e_{\pm 2}$ are toral, and $\mathfrak{T} := \mathbb{F}t_+ \oplus \mathbb{F}t_-$ is a two-dimensional torus of \mathfrak{W} . It follows from [22, Theorem 7.6.3(2) and Lemma 1.2.6(1)] that \mathfrak{T} is a torus of maximal dimension.

Set $\mathfrak{B} := \mathbb{F}e_0 \oplus \mathbb{F}e_1 \oplus \mathbb{F}e_2$. Since \mathfrak{B} is a 2-subalgebra of \mathfrak{W} with one-dimensional torus $\mathbb{F}e_0$ and two-dimensional 2-unipotent radical $\mathbb{F}e_1 \oplus \mathbb{F}e_2$, \mathfrak{B} has two isomorphism classes of irreducible restricted modules, which can be represented by $F_{\lambda} := \mathbb{F}1_{\lambda}$ ($\lambda = 0, 1$), where $e_0 \cdot 1_{\lambda} := \lambda 1_{\lambda}$ and $e_k \cdot 1_{\lambda} := 0$ for $k = 1, 2$ (cf. [26, Lemma 2.4] or [25, Lemma 5.8.6(2)]).

Consider the restricted baby Verma modules $Z(\lambda) := \text{Ind}_{\mathfrak{B}}^{\mathfrak{W}}(F_{\lambda}, 0)$ for $\lambda = 0, 1$, and let S denote any irreducible restricted \mathfrak{W} -module. Then it follows from Frobenius reciprocity that $\text{Hom}_{\mathfrak{W}}(Z(\lambda), S) \cong \text{Hom}_{\mathfrak{B}}(F_{\lambda}, S|_{\mathfrak{B}}) \neq 0$ for some $\lambda = 0$ or $\lambda = 1$, and therefore S is a homomorphic image of $Z(\lambda)$ for $\lambda = 0$ or $\lambda = 1$. On the other hand, one concludes from [10, Corollary 1.5 and Lemma 1.6] that $Z(\lambda)$ has a unique maximal submodule, and therefore $Z(\lambda)$ has a unique irreducible factor module. Hence \mathfrak{W} has at most two isomorphism classes of irreducible restricted modules.

It is a consequence of [13, Proposition 1.4(1)] and Lemma 6.2(3) that $W(1; 2)^{(1)} = [\mathfrak{W}, \mathfrak{W}]$ is a non-trivial irreducible \mathfrak{W} -module. So \mathfrak{W} has exactly two isomorphism classes of irreducible restricted modules, and up to isomorphism $W(1; 2)^{(1)}$ is the only non-trivial irreducible restricted \mathfrak{W} -module. Finally, it follows from

$[W(1; 2)^{(1)}]^\mathfrak{T} = 0$ and Lemma 6.1 that \mathfrak{W} has maximal 0-PIM, but \mathfrak{W} is not solvable as it contains the simple subalgebra $W(1; 2)^{(1)}$.

In particular, by the argument in the proof of Theorem 3.1 one obtains that $|\text{Irr}(\mathfrak{W}, \chi)| \leq 4$ for every linear form χ on \mathfrak{W} , but one would expect even that $|\text{Irr}(\mathfrak{W}, \chi)| \leq 2$ as in the restricted case. Moreover, it is not difficult to show that the projective cover of the non-trivial irreducible restricted \mathfrak{W} -module $W(1; 2)^{(1)} = [\mathfrak{W}, \mathfrak{W}]$ has the same dimension as the projective cover of the one-dimensional trivial \mathfrak{W} -module. We will leave the details to the interested reader and will investigate this more generally for the minimal 2-envelope of $W(1; n)$ on another occasion.

Acknowledgements. The first and the second author would like to thank the Dipartimento di Matematica e Applicazioni at the Università degli Studi di Milano-Bicocca for the hospitality during their visit in May 2013. The third author would like to thank the Department of Mathematics and Statistics at the University of South Alabama for the hospitality during his visit in October 2013.

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